



PATENT  
Attorney Docket No. BSC-216 (1002/296)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Chu *et al.*  
SERIAL NO.: 10/017,012 GROUP NO.: 3731  
FILING DATE: December 14, 2001 EXAMINER: Not yet assigned  
TITLE: METHODS AND APPARATUS FOR GUIDING A NEEDLE

Commissioner for Patents  
Washington, D.C. 20231

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INFORMATION DISCLOSURE STATEMENT

TECHNOLOGY CENTER R3700

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

Applicants hereby make of record the existence of U.S. Patent Application Serial No. 09/450,599, which was filed on November 30, 1999, and which claims the benefit of and priority to U.S. Patent Application Serial No. 60/131,058, which was filed on April 26, 1999, and U.S. Patent Application Serial No. 60/136,291, which was filed on May 27, 1999.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**

- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or
- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.


It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

#### STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,



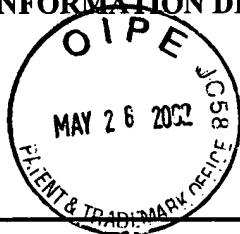
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## U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A1	2,338,800	1/11/44	Burke			6/25/41
	A2	2,432,294	12/9/47	Dimmer			9/11/43
	A3	2,705,949	4/12/55	Silverman			8/25/53
	A4	3,349,762	10/31/67	Kapany			10/21/64
	A5	3,356,089	12/5/67	Francis			3/1/65
	A6	3,457,922	7/29/69	Ray			12/13/66
	A7	3,538,916	11/10/70	Wiles <i>et al.</i>			12/19/68
	A8	3,556,085	1/19/71	Takahashi			2/26/68
	A9	3,941,121	3/2/76	Olinger <i>et al.</i>			12/20/74
	A10	3,961,621	6/8/76	Northeved			1/24/75
	A11	4,187,848	2/12/80	Taylor			11/13/78
	A12	4,230,123	10/28/80	Hawkins, Jr.			10/31/78
	A13	4,269,192	5/26/81	Matsuo			6/1/79
	A14	4,274,408	6/23/81	Nimrod			3/26/79
	A15	4,332,248	6/1/82	DeVitis			7/31/80
	A16	4,356,822	11/2/82	Winstead-Hall			10/17/80
	A17	4,401,124	8/30/83	Guess <i>et al.</i>			8/13/81
	A18	4,405,314	9/20/83	Cope			4/19/82
	A19	4,485,815	12/4/84	Amplatz <i>et al.</i>			8/30/82
	A20	4,512,351	4/23/85	Pohndorf			11/19/82
	A21	4,566,438	1/28/86	Liese <i>et al.</i>			10/5/84
	A22	4,572,203	2/25/86	Feinstein			1/27/83
	A23	4,582,061	4/15/86	Fry			11/18/81

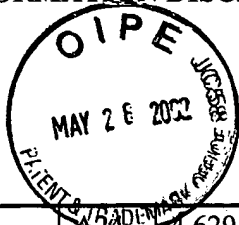
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	A24	4,629,451	12/16/86	Winters <i>et al.</i>			9/23/85
	A25	4,639,247	1/27/87	Bokros			11/2/84
	A26	4,645,490	2/24/87	Rosenberg			12/18/84
	A27	4,668,222	5/26/87	Poirier			5/25/84
	A28	4,693,703	9/15/87	Rosenberg			10/17/86
	A29	4,705,510	11/10/87	Rosenberg			10/17/86
	A30	4,710,171	12/1/87	Rosenberg			6/9/86
	A31	4,718,433	1/12/88	Feinstein			12/5/85
	A32	4,750,487	6/14/88	Zanetti			11/24/86
	A33	4,787,892	11/29/88	Rosenberg			1/4/88
	A34	4,834,708	5/30/89	Pillari			3/31/87
	A35	4,869,259	9/26/89	Elkins			5/17/88
	A36	4,874,376	10/17/89	Hawkins, Jr.			4/13/87
	A37	4,886,502	12/12/89	Poirier <i>et al.</i>			12/9/86
	A38	4,897,081	1/30/90	Poirier <i>et al.</i>			2/17/87
	A39	4,899,729	2/13/90	Gill <i>et al.</i>			8/3/88
	A40	4,945,895	8/7/90	Takai <i>et al.</i>			3/20/89
	A41	4,977,897	12/18/90	Hurwitz			8/17/88
	A42	4,981,142	1/1/91	Dachman			6/24/88
	A43	4,997,424	3/5/91	Little			4/5/89
	A44	4,998,938	3/12/91	Ghajar <i>et al.</i>			6/9/88
	A45	5,006,115	4/9/91	McDonald			7/25/89
	A46	5,009,644	4/23/91	McDonald			7/25/89
	A47	5,047,036	9/10/91	Koutrouvelis			11/17/89
	A48	5,048,530	9/17/91	Hurwitz			4/6/90
	A49	5,059,186	10/22/91	Yamamoto <i>et al.</i>			3/23/89

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	A50	5,078,142	1/7/92	Siczek <i>et al.</i>			11/21/89
	A51	5,080,662	1/14/92	Paul			11/27/89
	A52	5,081,997	1/21/92	Bosley, Jr. <i>et al.</i>			7/20/89
	A53	5,098,397	3/24/92	Svensson <i>et al.</i>			9/4/90
	A54	5,104,381	4/14/92	Gresl <i>et al.</i>			8/30/91
	A55	5,129,911	7/14/92	Siczek <i>et al.</i>			3/11/91
	A56	5,135,001	8/4/92	Sinofsky <i>et al.</i>			12/5/90
	A57	5,139,511	8/18/92	Gill <i>et al.</i>			2/13/91
	A58	5,189,690	2/23/93	Samuel			9/9/91
	A59	5,201,314	4/13/93	Bosley <i>et al.</i>			1/21/92
	A60	5,201,742	4/13/93	Hasson			4/16/91
	A61	5,221,269	6/22/93	Miller <i>et al.</i>			10/15/90
	A62	5,242,415	9/7/93	Kantrowitz <i>et al.</i>			8/14/92
	A63	5,242,455	9/7/93	Skeens <i>et al.</i>	RECEIVED		5/3/91
	A64	5,250,025	10/5/93	Sosnowski <i>et al.</i>	MAY 29 2002		1/10/92
	A65	5,259,837	11/9/93	Van Wormer	TECHNOLOGY CENTER		12/27/90
	A66	5,263,938	11/23/93	Orr <i>et al.</i>			1/28/92
	A67	5,289,831	3/1/94	Bosley			4/21/92
	A68	5,308,352	5/3/94	Koutrouvelis			6/11/90
	A69	5,314,432	5/24/94	Paul			8/5/93
	A70	5,327,891	7/12/94	Rammler			7/30/92
	A71	5,383,466	1/24/95	Partika			5/14/93
	A72	5,395,317	3/7/95	Kambin			10/30/91
	A73	5,409,497	4/25/95	Siczek <i>et al.</i>			3/12/92
	A74	5,439,444	8/8/95	Andersen <i>et al.</i>			4/26/94
	A75	5,489,273	2/6/96	Whitney <i>et al.</i>			10/7/94

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	A76	5,490,521	2/13/96	Davis <i>et al.</i>			8/16/94
	A77	5,556,385	9/17/96	Andersen			12/6/94
	A78	5,571,091	11/5/96	Davis <i>et al.</i>			9/1/95
	A79	5,575,798	11/19/96	Koutrouvelis			8/22/95
	A80	5,586,553	12/24/96	Halili <i>et al.</i>			2/16/95
	A81	5,588,436	12/31/96	Narayanan <i>et al.</i>			10/11/95
	A82	5,626,597	5/6/97	Urban <i>et al.</i>			2/21/95
	A83	5,665,072	9/9/97	Yoon			1/11/95
	A84	5,665,095	9/9/97	Jacobson			12/15/94
	A85	5,670,161	9/23/97	Healy <i>et al.</i>			5/28/96
	A86	5,676,656	10/14/97	Brimhall			7/24/96
	A87	5,680,859	10/28/97	Urion <i>et al.</i>			10/11/95
	A88	5,693,072	12/2/97	McIntosh			5/23/95
	A89	5,725,506	3/10/98	Freeman <i>et al.</i>			1/5/96
	A90	5,749,887	5/12/98	Heske <i>et al.</i>			6/1/95
	A91	5,759,154	6/2/98	Hoyns			12/23/96
	A92	5,766,135	6/16/98	Terwilliger			10/17/96
	A93	5,769,795	6/23/98	Terwilliger			12/14/96
	A94	5,779,665	7/14/98	Mastrototaro <i>et al.</i>			5/8/97
	A95	5,792,044	8/11/98	Foley <i>et al.</i>			3/22/96
	A96	5,799,055	8/25/98	Peshkin <i>et al.</i>			5/17/96
	A97	5,820,554	10/13/98	Davis <i>et al.</i>			3/24/97
	A98	5,820,600	10/13/98	Carlson <i>et al.</i>			5/14/96
	A99	5,830,190	11/3/98	Howell			6/11/96
	A100	5,833,655	11/10/98	Freed <i>et al.</i>			5/15/97
	A101	5,843,023	12/1/98	Cecchi			10/4/95

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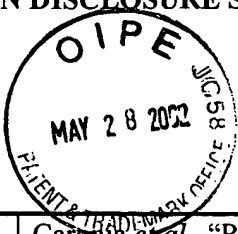
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	A102	5,851,183	12/22/98	Bucholz					10/16/95
	A103	5,871,445	2/16/99	Bucholz					9/7/95
	A104	5,902,231	5/11/99	Foley <i>et al.</i>					10/24/96
	A105	5,921,933	7/13/99	Sarkis <i>et al.</i>					8/17/98
	A106	5,967,988	10/19/99	Briscoe <i>et al.</i>					4/8/98
	A107	6,006,750	12/28/99	Field					4/30/96
	A108	6,018,676	1/25/00	Davis <i>et al.</i>					5/18/98
	A109	6,053,871	4/25/00	Cockburn					1/16/98
	A110	6,106,473	8/22/00	Violante <i>et al.</i>					11/6/97

FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG Y/N
	B1	96/33667	10/31/96	WO					Y
	B2	99/00056	1/7/99	WO					Y
	B3	29519103 U1	1/9/97	DE				RECEIVED In English	N
	B4	0904741 A2	3/31/99	EP				MAY 20 2002	Y
	B5	93/10837	6/10/93	WO					Y
	B6	96/00044	1/4/96	WO			TECHNOLOGY CENTER R3700		Y
	B7	99/16374	4/8/99	WO					Y
	B8	00/64354	11/2/00	WO					Y

OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	C1	American Urological Association, Inc., Ureteral Stones Pamphlet, pp. 1-5, 7-8 (1997).
	C2	Boston Scientific/Microvasive Education Center, "Percutaneous Nephrolithotomy," pp. 1-10 (1995).
	C3	Cadeddu <i>et al.</i> , "Stereotactic Mechanical Percutaneous Renal Access," <u>Journal of Endourology</u> , Vol. 12, No. 2, (April 1998).


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C4	Caron <i>et al.</i> , "Rettopessi per via laparoscopica: nostra esperienza nel trattamento del prolasso rettale completo," <u>Giorn. Chir.</u> , Vol. 20-n.6/7, pp. 311-313, (1999), with English Abstract.	
C5	Cook Urological, Inc., "Disposable Two-Part Trocar Needles," 1 page, (1998).	
C6	Cook Urological, Inc., "Amplatz Needle Holder," 1 page, (1998).	
C7	Cook Urological, Inc., "Disposable Long Trocar Needles," 1 page, (1998).	
C8	Cook Urological, Inc., "Disposable Mitty-Pollack Needle Set," 1 page, (1998).	
C9	Cook Urological, Inc., "Disposable TFE Sheath Needle," 1 page, (1998).	
C10	Cook Urological, Inc., "Cook-Cope Loop Catheter Introduction Set," 1 page, (1998).	
C11	Cook Urological, Inc., "Percutaneous Entry Set," 2 pages, (1998).	
C12	Cook Urological, Inc., "NEFF Percutaneous Access Sets with RB <sup>TM</sup> Design Radiopaque Band," 1 page, (1995).	
C13	Cook Urological, Inc., "NEFF Percutaneous Access Sets with Radiopaque Band and Hydrophilic Coating," 2 pages, (1997).	
C14	Cook Urological, Inc., "Ultrathane <sup>®</sup> Amplatz Ureteral Stent Sets with Slip-Coat <sup>TM</sup> Hydrophilic Coating and RB <sup>TM</sup> Radiopaque Bands," 1 page, (1996).	
C15	Cook Urological, Inc., "Ultrathane Dawson-Mueller Drainage Catheters with Mac-Loc <sup>TM</sup> Locking Mechanism, Slip-Coat <sup>TM</sup> Hydrophilic Coating and Intro-Tip <sup>TM</sup> Design Introduction System," 1 page, (1997).	
C16	Cook Urological, Inc., "Yueh Centesis Disposable Catheter Needles," 1 page, (1996).	
C17	Cook Urological, Inc., "Geremia Vertebral Biopsy Needle Set," 1 page, (1994).	
C18	Engineering News, "Engineers Keep Things Green," <u>Design News</u> , (Nov. 2, 1998).	
C19	Fielding, "Laparoscopic Cholecystectomy," <u>Aust. N.Z. J. Surg.</u> , Vol. 62, pp. 181-187, (1992).	
C20	Gotlieb <i>et al.</i> , "Intraperitoneal Pressures and Clinical Parameters of Total Paracentesis for Palliation of Symptomatic Ascites in Ovarian Cancer," <u>Gynecologic Oncology</u> , Vol. 71, pp. 381-385, (1998).	
C21	Jenkins <i>et al.</i> , "Veres Needle in the Pleural Space," <u>Southern Medical Journal</u> , Vol. 76, No. 11, pp. 1383-1385, (Nov. 1983).	

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<b>FORM PTO - 1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b> 		ATTORNEY DOCKET NO.: BSC-216 APPLICANTS: Chu <i>et al.</i> SERIAL NO.: 10/017,012 FILING DATE: December 14, 2001 GROUP: 3731
	C22	Köckerling <i>et al.</i> , "Die Offene Laparoskopie zur Vermeidung von Punktionsverletzungen," <u>Chirurg</u> , Vol.67, pp. 183-187, (1996), with English summary section.
	C23	LeRoy, "Percutaneous Access," in <u>Smith's Textbook of Endourology</u> , Vol. 1, pp 199-210, (1996).
	C24	Smith, "Percutaneous Removal of Kidney Stones," <u>Urologic Surgery</u> , pp.116-131 (date unknown).
	C25	Microvasive Product Catalog; Products for Endourology, pg. 8-2, (1996).
	C26	International Search Report for PCT/US99/28311, August 1, 2000, 8 pgs.
EXAMINER		DATE CONSIDERED

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